

2154/#

PTO/SB/21 (09-04)

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| | | | |
|---|----------------------|------------------------|----------|
| PTO TRANSMITTAL FORM (to be used for all correspondence after initial filing) AUG 01 2005 PATENT & TRADEMARK OFFICE | Application Number | 10/076,181 | |
| | Filing Date | February 12, 2002 | |
| | First Named Inventor | Hal Hildebrand | |
| | Art Unit | 2154 | |
| | Examiner Name | Nicholas A. Martin | |
| Total Number of Pages in This Submission | 19 | Attorney Docket Number | PA2902US |

| ENCLOSURES (Check all that apply) | | |
|--|---|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form | <input type="checkbox"/> Drawing(s) | <input type="checkbox"/> After Allowance Communication to TC |
| <input checked="" type="checkbox"/> Fee Attached | <input type="checkbox"/> Licensing-related Papers | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences |
| <input type="checkbox"/> Amendment/Reply | <input type="checkbox"/> Petition | <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final | <input type="checkbox"/> Petition to Convert to a Provisional Application | <input type="checkbox"/> Proprietary Information |
| <input type="checkbox"/> Affidavits/declaration(s) | <input type="checkbox"/> Power of Attorney, Revocation | <input type="checkbox"/> Status Letter |
| <input type="checkbox"/> Extension of Time Request | <input type="checkbox"/> Change of Correspondence Address | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): |
| <input type="checkbox"/> Express Abandonment Request | <input type="checkbox"/> Terminal Disclaimer | 1) Confirmation Postcard; |
| <input checked="" type="checkbox"/> Information Disclosure Statement | <input type="checkbox"/> Request for Refund | 2) PTO/SB/08 (x2); |
| <input type="checkbox"/> Certified Copy of Priority Document(s) | <input type="checkbox"/> CD, Number of CD(s) _____ | 3) Check for \$180.00; |
| <input type="checkbox"/> Reply to Missing Parts/Incomplete Application | <input type="checkbox"/> Landscape Table on CD | 4) Duplicate of Supplemental IDS (2pp); |
| <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53 | | 5) List of Co-Pending Applications (1p, x2); |
| | | 6) Copies of 12 Cited References |
| Remarks Total page number does not include postcard, check, or copies of cited references. | | |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT | | | |
|--|--------------------|-----------------|--------|
| Firm Name | Carr & Ferrell LLP | Cust. No. 22830 | |
| Signature | <i>Susan Yee</i> | | |
| Printed name | Susan Yee | | |
| Date | July 28, 2005 | Reg. No. | 41,388 |

| CERTIFICATE OF TRANSMISSION/MAILING | | | |
|---|----------------------------|------|---------------|
| I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below: | | | |
| Signature | <i>Susan Yee</i> | | |
| Typed or printed name | Susan Yee, Reg. No. 41,388 | Date | July 28, 2005 |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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| | | | | | | | | | | | | | | | |
|---|--------------------|---|--|--------------------|------------|-------------|-------------------|----------------------|----------------|---------------|--------------------|----------|------|---------------------|----------|
| <p>Effective on 12/08/2004. Fee pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).</p> <h1 style="margin: 0;">FEE TRANSMITTAL</h1> <p style="font-size: 1.2em; margin: 0;">For FY 2005</p> <p style="font-size: 0.8em; margin: 0;">Applicant claims small entity status. See 37 CFR 1.27</p> | | <p>Complete if Known</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td>Application Number</td><td>10/076,181</td></tr> <tr><td>Filing Date</td><td>February 12, 2002</td></tr> <tr><td>First Named Inventor</td><td>Hal Hildebrand</td></tr> <tr><td>Examiner Name</td><td>Nicholas A. Martin</td></tr> <tr><td>Art Unit</td><td>2154</td></tr> <tr><td>Attorney Docket No.</td><td>PA2902US</td></tr> </table> | | Application Number | 10/076,181 | Filing Date | February 12, 2002 | First Named Inventor | Hal Hildebrand | Examiner Name | Nicholas A. Martin | Art Unit | 2154 | Attorney Docket No. | PA2902US |
| Application Number | 10/076,181 | | | | | | | | | | | | | | |
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| First Named Inventor | Hal Hildebrand | | | | | | | | | | | | | | |
| Examiner Name | Nicholas A. Martin | | | | | | | | | | | | | | |
| Art Unit | 2154 | | | | | | | | | | | | | | |
| Attorney Docket No. | PA2902US | | | | | | | | | | | | | | |
| <p>TOTAL AMOUNT OF PAYMENT (\$) 180.00</p> | | | | | | | | | | | | | | | |

METHOD OF PAYMENT (check all that apply)

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☒ Deposit Account Deposit Account Number: 06-0600 Deposit Account Name: Carr & Ferrell LLP

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee

☒ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☒ Credit any overpayments

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FEE CALCULATION**1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

| Application Type | FILING FEES | | SEARCH FEES | | EXAMINATION FEES | | Fees Paid (\$) |
|------------------|-------------|---------------------------------|-------------|---------------------------------|------------------|---------------------------------|----------------|
| | Fee (\$) | <u>Small Entity</u> Fee (\$) | Fee (\$) | <u>Small Entity</u> Fee (\$) | Fee (\$) | <u>Small Entity</u> Fee (\$) | |
| Utility | 300 | 150 | 500 | 250 | 200 | 100 | |
| Design | 200 | 100 | 100 | 50 | 130 | 65 | |
| Plant | 200 | 100 | 300 | 150 | 160 | 80 | |
| Reissue | 300 | 150 | 500 | 250 | 600 | 300 | |
| Provisional | 200 | 100 | 0 | 0 | 0 | 0 | |

2. EXCESS CLAIM FEES

| Fee Description | Fee (\$) | <u>Small Entity</u> Fee (\$) |
|---|----------|---------------------------------|
| Each claim over 20 or, for Reissues, each claim over 20 and more than in the original patent | 50 | 25 |
| Each independent claim over 3 or, for Reissues, each independent claim more than in the original patent | 200 | 100 |
| Multiple dependent claims | 360 | 180 |

| | | | | | | |
|--|---------------------|-----------------|----------------------|----------------------------------|-----------------|----------------------|
| <u>Total Claims</u> | <u>Extra Claims</u> | <u>Fee (\$)</u> | <u>Fee Paid (\$)</u> | <u>Multiple Dependent Claims</u> | <u>Fee (\$)</u> | <u>Fee Paid (\$)</u> |
| _____ - 20 or HP = _____ x _____ = _____ | | | | | | |

HP = highest number of total claims paid for, if greater than 20

| | | | |
|---|---------------------|-----------------|----------------------|
| <u>Indep. Claims</u> | <u>Extra Claims</u> | <u>Fee (\$)</u> | <u>Fee Paid (\$)</u> |
| _____ - 3 or HP = _____ x _____ = _____ | | | |

HP = highest number of independent claims paid for, if greater than 3

3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

| | | | | |
|---|---------------------|---|-----------------|----------------------|
| <u>Total Sheets</u> | <u>Extra Sheets</u> | <u>Number of each additional 50 or fraction thereof</u> | <u>Fee (\$)</u> | <u>Fee Paid (\$)</u> |
| _____ - 100 = _____ / 50 = _____ (round up to a whole number) x _____ = _____ | | | | |

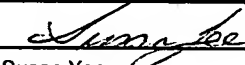
4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other: Information Disclosure Statement Fee

180

SUBMITTED BY

| | | | |
|-------------------|---|---|------------------------|
| Signature |  | Registration No. (Attorney/Agent) 41,388 | Telephone 650-812-3400 |
| Name (Print/Type) | Susan Yee | Date July 28, 2005 | |

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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IN THE
UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Hal Hildebrand et al.
SERIAL NUMBER: 10/076,181
FILING DATE: February 12, 2002
TITLE: System and Method for Providing Distributed Access
Control to Secured Items
EXAMINER: Nicholas A. Martin
ART UNIT: 2154
ATTY. DKT. NO.: PA2902US

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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
Under 37 C.F.R. §§ 1.56, and 1.97-1.98

SIR:

Pursuant to the provisions of 37 C.F.R. §§ 1.56 and 1.97-98 of the Rules of Practice in Patent Cases, enclosed herewith is form PTO-SB-08 and a List of Co-Pending Patent Applications, listing several references; copies of the foreign patents and non-patent references are enclosed. A copy of the co-pending application is not enclosed as the application is available via the Patent Application Information Retrieval system. As such, submission is not required under 37 C.F.R. § 1.98(a)(2)(iii).

The Examiner is requested to make these references of official record in this application. The references cited may be material to examination of the application and are submitted in compliance with Applicants' duty of disclosure as defined by 37 C.F.R. § 1.56.

No representation is made or intended as to the completeness of this list, nor is the inclusion of any reference on this list an admission that it is prior art or pertinent to this application.

Applicants hereby attach the \$180 fee required by 37 C.F.R. §1.17(p) with this submission. The Commissioner is hereby authorized to charge Deposit Account No. 06-0600 for any additional fees that may be required, or credit our account for any overpayment charge. A copy of this statement is submitted in duplicate for this purpose.

Respectfully submitted,
Hal Hildebrand et al.

Dated: July 28, 2005

By: *Susan Yee*
Susan Yee, Reg. No. 41,388
Carr & Ferrell *LLP*
2200 Geng Road
Palo Alto, CA 94303
TEL: (650) 812-3400
FAX: (650) 812-3444



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By: *Susan Yee*
Susan Yee, Reg. No. 41,388



IN THE
UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Hal Hildebrand et al.

APPLICATION NO.: 10/076,181

FILED: February 12, 2002

TITLE: System and Method for Providing Distributed Access Control to Secured Items

EXAMINER: Nicholas A. Martin

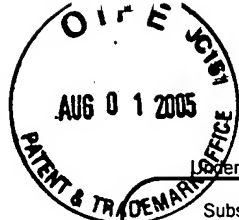
GROUP ART UNIT: 2154

ATTY.DKT.NO.: PA2902US

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**List of Co-Pending Patent Applications That May Be Directed
Towards Similar Subject Matter**

| Examiner's Initials | Serial Number | First-Named Inventor | Title | Filing Date |
|--------------------------|------------------|-------------------------|---|----------------------|
| | 10/076,254 | Alain Rossmann | Method and Architecture for Providing Pervasive Security to Digital Assets | February 12, 2002 |
| Examiner's Signature: | | | | Date |
| | | | | |



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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

| | |
|------------------------|--------------------|
| Application Number | 10/076,181 |
| Filing Date | February 12, 2002 |
| First Named Inventor | Hal Hildebrand |
| Art Unit | 2154 |
| Examiner Name | Nicholas A. Martin |
| Attorney Docket Number | PA2902US |

Sheet 1 of 5

U. S. PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Document Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|--------------------|-----------------------|--|--------------------------------|--|---|
| | | Number-Kind Code ² (if known) | | | |
| | | US- 4,757,533 | 07-12-1988 | Allen et al. | |
| | | US- 5,052,040 | 09-24-1991 | Preston et al. | |
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FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear | T ⁶ |
|--------------------|-----------------------|---|--------------------------------|--|---|----------------|
| | | Country Code ³ -Number ⁴ -Kind Code ⁵ (if known) | | | | |
| | | EP 0 674 253 A1 | 09-27-1995 | Kabushiki Kaisha Toshiba | | |
| | | EP 0 809 170 A1 | 11-26-1997 | NCR International Inc. | | |
| | | EP 0 950 941 A2 | 10-20-1999 | Fujitsu Limited | | |
| | | EP 1 130 492 A2 | 09-05-2001 | Sony Corporation | | |
| | | EP 1 154 348 A2 | 11-14-2001 | Matsushita Electronics Corp. | | |
| | | GB 2 328 047 A | 02-10-1999 | Microsoft Corporation | | |

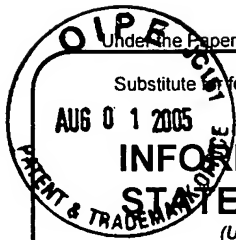
Examiner
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| Application Number | 10/076,181 |
| Filing Date | February 12, 2002 |
| First Named Inventor | Hal Hildebrand |
| Art Unit | 2154 |
| Examiner Name | Nicholas A. Martin |
| Attorney Docket Number | PA2902US |

Sheet **2** of **5****U. S. PATENT DOCUMENTS**

| Examiner Initials* | Cite No. ¹ | Document Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|-----------------------|--------------------------|--|--------------------------------|--|---|
| | | Number-Kind Code ² (if known) | | | |
| | | US- 5,751,287 | 05-12-1998 | Hahn et al. | |
| | | US- 5,787,169 | 07-28-1998 | Eldridge et al. | |
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FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear | T ⁶ |
|-----------------------|--------------------------|---|-----------------------------------|--|---|----------------|
| | | Country Code ³ -Number ⁴ -Kind Code ⁵ (if known) | | | | |
| | | JP 2001-036517 | 02-09-2001 | Lucent Technol, Inc. | | |
| | | WO 01/84271 A2 | 11-08-2001 | Certia, Inc. | | |
| | | WO 01/61438 A2 | 08-23-2001 | Permabit, Inc. | | |
| | | WO 01/78285 A1 | 10-18-2001 | Mediadna, Inc. | | |
| | | | | | | |
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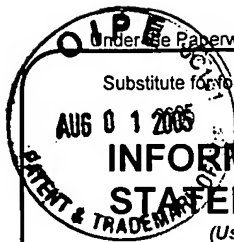
Examiner
SignatureDate
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| Attorney Docket Number | PA2902US |

Sheet 3 of 5

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|--------------------|-----------------------|--|--------------------------------|--|---|
| | | Number-Kind Code ² (if known) | | | |
| | | US- 6,505,300 B2 | 01-07-2003 | Chan et al. | |
| | | US- 6,542,608 B2 | 04-01-2003 | Scheidt et al. | |
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| | | US- 2003/0115146 A1 | 06-19-2003 | Lee et al. | |

FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear | T ⁶ |
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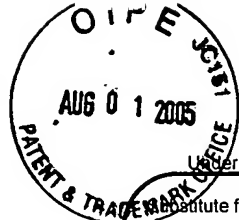
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| Application Number | 10/076,181 |
| Filing Date | February 12, 2002 |
| First Named Inventor | Hal Hildebrand |
| Art Unit | 2154 |
| Examiner Name | Nicholas A. Martin |
| Attorney Docket Number | PA2902US |

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|-----------------------|--------------------------|---|----------------|
| | | "Expiration Mechanism for Chipcards," IBM Technical Disclosure Bulletin, October 1, 2001, UK. | |
| | | McDANIEL et al., "Antigone: A Flexible Framework for Secure Group Communication," Proceedings of the 8th USENIX Security Symposium, August 23, 1999. | |
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